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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/578,037 Confirmation No. : 5332  
First Named Inventor : David DILLON  
Filed : May 2, 2006  
TC/A.U. :  
Examiner : Not Yet Assigned  
  
Docket No. : 102980.58649US2  
Customer No. : 23911  
  
Title : Authentication and Tracking System

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.97 AND 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, the attached Form PTO-1449 lists documents which the Examiner may deem relevant to patentability of the claims of the above-identified application.

**I. Time Period of Submission**

This Information Disclosure Statement is submitted:

☒ 1) no later than three months from the application's filing date or 2) before the mailing date of the first Office Action on the merits (whichever is later) or 3) before a first Office Action after the filing of a Request for Continued Examination, and therefore no statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

☐ 2) after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, a Notice of Allowance, or an action closing prosecution (*Ex parte Quayle*), (whichever is earlier), and therefore Applicant is filing concurrently herewith:

☐ a Statement under 37 C.F.R. § 1.97(e); or

☐ a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

☐ 3) after either a Final Office Action or a Notice of Allowance, but before payment of the Issue Fee, and therefore Applicant is submitting herewith:

a Statement under 37 C.F.R. § 1.97(e); and

a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

II. Statement Under 37 C.F.R. § 1.97(e)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or

☐ I hereby state that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making a reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement; or

III. Statement under 37 C.F.R. § 1.704(d)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

IV. Submission of Non-English Language Documents

☒ The following is a concise explanation of relevance of the non-English language documents listed in the attached Form PTO-1449:

☐ The relevance of document(s) \_\_\_\_\_ to the subject matter of the present invention is/are provided in the specification of the above-identified application.

☐ Corresponding foreign or international report(s) citing document(s) \_\_\_\_\_, together with an English-language version(s) (if not already in English) of that portion of the report(s) indicating the degree of relevance found by the foreign office(s) is/are submitted.

☐ English language family member publication(s) of document(s) \_\_\_\_\_ is/are noted on Form PTO-1449.

☒ English language abstract(s) is/are submitted for document(s) DR, DS, DU, DV, and DW.

☐ English translation(s) of the foreign language document(s) \_\_\_\_\_ is/are submitted herewith.

☐ Applicant submits the following explanations:  
\_\_\_\_\_.

V. Continuations/Divisionals

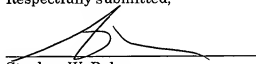
☐ Documents \_\_\_\_\_ were of record in parent application Serial No. \_\_\_\_\_, filed \_\_\_\_\_, and \_\_\_\_\_, filed \_\_\_\_\_, from which this application claims benefit. As provided in 37 C.F.R. §1.98(d), copies of the documents are not being provided since they were previously submitted to or cited by the United States Patent and Trademark Office in the afore-mentioned parent applications.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

If necessary, this paper should be considered as an authorization to charge Deposit Account 05-1323, Attorney Docket No.: 102980.58649US2, for the fee set forth in 37 C.F.R. § 1.17(p).

Respectfully submitted,

April 18, 2007

  
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Substitute for form 1449A/P		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		Application Number	10/578,037
		Filing Date	May 2, 2006
		First Named Inventor	David DILLON
		Art Unit	3627
		Examiner Name	Not Yet Assigned
		Attorney Docket Number	102980.58649US2
Sheet	1	of	5

U.S. PATENT DOCUMENTS					
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	CA	US- 3,833,795	09-03-1974	Shoshani et al.	
	CB	US- 4,463,250	07-31-1984	McNeight et al.	
	CC	US- 4,829,873	12-16-1986	Stockburger et al.	
	CD	US- 4,686,515	08-11-1987	Anderson et al.	
	CE	US- 4,818,824	03-28-1989	Katz et al.	
	CF	US- 5,418,855	05-23-1995	Liang et al.	
	CG	US- 5,592,561	01-07-1997	Moore	
	CH	US- 5,387,148	11-22-1994	Storch et al.	
	CI	US- 2007/0023513 A1	02-01-2007	Andreasson et al.	
	CJ	US- 2007/0012784 A1	01-18-2007	Mercolino	
	CK	US- 2006/0255130 A1	11-16-2006	Whewell et al.	
	CL	US- 2008/0181397 A1	08-17-2006	Limbachiya	
	CM	US- 2006/0174129 A1	08-03-2006	Brignone et al.	
	CN	US-2006/0054682 A1	03-16-2006	de la Huerza	
	CO	US-2008/0022799 A1	02-02-2006	Juels	

FOREIGN PATENT DOCUMENTS					
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	DR	WO 2006/098659 A2	09-21-2006	Karimov	Abstract
	DS	JP2005301556	10-27-2005	NEC Engineering Ltd.	Abstract
	DT	WO 2005/083644 A1	09-09-2005	Stikker.com BV	
	DU	WO 2005/036504 A1	04-21-2005	Sata Farbspritztechnik GmbH & Co. KG	Abstract

Examiner Signature	Date Considered
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<sup>1</sup> EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>2</sup> Applicant's unique citation designation number (optional). <sup>3</sup> See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. <sup>4</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>5</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>6</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>7</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Complete If Known</b>	
		Application Number	10/578,037
		Filing Date	May 2, 2006
		First Named Inventor	David DILLON
		Art Unit	3627
		Examiner Name	Not Yet Assigned
Sheet 2 of 5	Attorney Docket Number	102980.58649US2	

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
	CP	US- 2005/0264001	A1	12-01-2005	Kerns et al.	
	CQ	US- 2005/0151617	A1	07-14-2005	Nakazawa	
	CR	US- 2004/0205343	A1	10-14-2004	Forth et al.	
	CS	US- 2003/0179902	A1	09-25-2003	Ambrogio et al.	
	CT	US- 8,802,447	B2	10-12-2004	Hornig	
	CU	US- 8,547,137	B1	04-15-2003	Begelfer et al.	
	CV	US- 8,212,838	B1	04-03-2001	Lee et al.	
	CW	US- 2003/0164401	A1	09-04-2003	Andreasson et al.	
	CX	US- 7,175,081	B2	02-13-2007	Andreasson et al.	
	CY	US- 8,935,580	B2	08-30-2005	Andreasson et al.	
	CZ	US- 7,038,766	B2	05-02-2006	Kerns et al.	
	DA	US- 2002/0122878	A1	09-05-2002	Kerns et al.	
	DB	US-2007/0012783	A1	01-18-2007	Mercolino	
	DC	US- 7,042,335	B2	05-09-2008	Franks	
	DD	US- 8,533,180	B1	03-18-2003	Wood	
	DE	US- 8,881,214	B1	01-20-2004	Doljack	

FOREIGN PATENT DOCUMENTS							
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)					
DV		JP2004342066		12-02-2004	Fast Accurate Developments Ltd.		Abstract
DW		DE010155780A1		05-22-2003	Vision Tools Hard Und Software DE		Abstract

Examiner Signature	Date Considered
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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	3	of	5
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**Complete if Known**

Application Number	10/578,037
Filing Date	May 2, 2006
First Named Inventor	David DILLON
Art Unit	3627
Examiner Name	Not Yet Assigned
Attorney Docket Number	102980.58649US2

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
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		Application Number	10/578,037	
		Filing Date	May 2, 2006	
		First Named Inventor	David DILLON	
		Art Unit	3627	
		Examiner Name	Not Yet Assigned	
Sheet	4	of	5	
		Attorney Docket Number		102980.58649US2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	DX	RANASIGHE, Damith C., et al., "Confronting Security and Privacy Threats in Modern RFID Systems", The University of Adelaide Auto-ID Lab, Pp. 1-7.	
	DY	STAAKE, Thorsten, et al., "Flagship Project Anti-Counterfeiting & Secure Supply Chain", Auto-ID Labs White Paper WP-PP-001, Pp. 1-40.	
	DZ	DUC, Dang Nguyen, et al., "Enhancing Security of EPCGlobal Gen-2 RFID Tag Against Traceability and Cloning", 2006 symposium on Cryptography and Information Security, Hiroshima, Japan, January 17-20, 2006, Pp. 1-6.	
	EA	DUC, Dan Nguyen, et al., "Enhancing Security of EPCGlobal Gen-2 RFID Tag Against Traceability and Cloning", Auto-ID Labs White Paper WP-SWNET-016, Pp. 1-11.	
	EB	"Supply Chain Applications of RFID - Product Packaging", ISO/TC 122/104/JWG N 05040, ISO/DIS 17366, Pp. 1-20.	
	EC	LAINE, S., "Product Authentication with Low-Cost RFID Tags," Pp. 1-9.	
	ED	MENEZES et al., Handbook of Applied Cryptography, 1997, p. 175.	
	EE	SCHNEIER, Bruce, Applied Cryptography: Protocols, Algorithms and Source Code in C, 10/95, pp. 44-45.	
	EF	CHEN, L., et al., "Key Escrow in Mutually Mistrusting Domains," Proceedings of Security Protocols, Mark Lomas (ed.), International Workshop, Cambridge, U.K., (Apr. 10-12, 1996).	
	EG	SALOMAA, Arto, "Public Key Cryptography," Chptr. 1, 2 <sup>nd</sup> ed., Springer, (1996).	

Examiner Signature	Date Considered
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		First Named Inventor	David DILLON		
		Art Unit	3627		
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Sheet	5	of	5	Attorney Docket Number	102980.58649US2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	EH	SCHNEIER, Bruce, "Applied Cryptography, Protocols, Algorithms, and Source Code in C," Chptrs. 1, 2, 11, 17, 18, 2 <sup>nd</sup> ed., John Wiley & Sons, Inc. (1996).	
	EI	SIMONDS, Fred "Network Security, Data and Voice Communications," Chptrs. 10, 12, McGraw-Hill, (1996).	
	EJ	GUSTAFSON, H.M., et al., "Randomness Measures Related to Subject Occurrence," Proceedings of Cryptography: Policy and Algorithms, Ed Dawson, and Jovan Golic (eds.), Brisbane, Queensland, Australia, (Jul. 3-5, 1995).	
	EK	BAKHTIARI, S., et al., "Keyed Hash Functions," Proceedings of Cryptography: Policy and Algorithms, Ed Dawson and Jovan Golic (eds.), Brisbane, Queensland, Australia, pp. 201-214 (Jul. 3-5, 1995).	
	EL	LEE, S., et al., "Conditional Correlation Attack on Nonlinear Filter Generators," Proceedings of Advances in Cryptology-ASIACRYPT '96, Kwangjo Kim and Tsutomu Matsumoto (eds.) (Nov. 3-7, 1996).	
	EM	JOHNSTON, R., Vulnerability Assessment Team, Los Alamos National Laboratory, An Anti-Counterfeiting Strategy Using Numeric Tokens, LAUR-04-8055, Pp. 1-21	
Examiner Signature	/Jamie Kucab/		Date Considered 04/26/2010

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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